

*Revised see 90-187
See 87-173*

THE CONNECTICUT STATE UNIVERSITY

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RESOLUTION

concerning

ADOPTION OF PERSONNEL POLICIES FOR MANAGEMENT AND
CONFIDENTIAL PROFESSIONAL PERSONNEL UNDER THE JURISDICTION
OF THE BOARD OF TRUSTEES FOR CONNECTICUT STATE UNIVERSITY

December 5, 1986

BE IT RESOLVED, That the attached Personnel Policies for
Management and Confidential Professional
Personnel, dated November 24, 1986, be
adopted, effective January 1, 1987.

A Certified True Copy:



Dallas K. Beal
President

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ARTICLE 1 PURPOSE AND DISCLAIMER

1.1 Purpose

These policies are promulgated by the Board of Trustees for the Connecticut State University (the Board) to define the rights of Management and Confidential Professional Personnel under Board jurisdiction and to affirm the responsibility of the Board of Trustees under the Connecticut General Statutes.

1.2 Disclaimer

Nothing in these policies shall be construed in any way to restrict or otherwise limit the legal responsibilities of the Board of Trustees. The Board of Trustees may alter, amend, revise, or repeal these policies in whole or in part.

ARTICLE 2 DEFINITIONS

2.1 Professional Personnel

The term "professional personnel" includes all unclassified personnel, excluding those in the SUOAF-AFSCME and CSU-AAUP bargaining units, under the jurisdiction of the Board of Trustees, including the unclassified personnel in the Connecticut State University Executive Offices. These employees, or members, or persons, are referred to as Management Personnel or Confidential Professional Personnel.

2.2 The Four State Universities

The terms, "four State Universities," "four Universities" and "four campuses" mean Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University and Western Connecticut State University.

2.3 Connecticut State University

The words "Connecticut State University" (CSU) includes the Executive Offices of the CSU Administration, Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University, and Western Connecticut State University.

2.4 Campus-based Personnel

The term "Campus-based personnel" excludes Personnel in the CSU Executive Offices and refers to persons assigned to Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University, Western Connecticut State University and the Connecticut State University Research Foundation.

2.5 The Board of Trustees

Except when specifically identified otherwise, the terms "Trustee" and "Board" mean the Board of Trustees for Connecticut State University.

2.6 University President

The term, "University President," means the President of Connecticut State University.

2.7 President

The term "President" refers to a president of one of the four State Universities as defined in paragraph 2.2. At times the term campus president will be used in place of president to avoid confusion with the University President.

2.8 University Vice President

The term "University Vice President" refers to the positions in the Connecticut State University Executive Offices of Vice President for Academic Affairs and Research, Vice President for Finance and Management and Vice President for Personnel.

2.9 Vice President

The term "Vice President" refers to a vice presidential position at one of the four State Universities defined in paragraph 2.2.

2.10 Connecticut State University Executive Offices

The term "Executive Offices (Officers)" means the University President and members of his professional staff who are in the unclassified service including, but not limited to, the Vice President for Academic Affairs and Research, the Vice President for Finance and Management, the Vice President for Personnel, the Associate for Board Affairs/Executive Assistant to the President, the Executive Assistant to the President for University Relations and the Director of Experimental College.

2.11 Management Personnel

The term Management Personnel includes the University President, Presidents, University Vice Presidents, Vice Presidents, Deans of Students, Deans of Personnel Administration, Deans of Schools responsible for instruction of students, and such other persons as may be designated by the University President or Presidents.

2.12 Position Count

The term, "position count," refers to the number of positions authorized for use by the University President as provided in Article 3.1 or by the Board.

ARTICLE 3 Professional Responsibilities

3.1 President of Connecticut State University

The University President is the head of the professional staff of the Connecticut State University. The University President is responsible for implementation of all decisions and policies of the Board. The University President is responsible for the operation of the Connecticut State University system and supervises the work of his or her Staff in the Connecticut State University Executive Offices. The work of the CSU Executive Staff includes, but is not limited to, academic affairs, student affairs, budgeting, financial management, personnel matters including affirmative action, collective bargaining, institutional research and information systems. The Presidents report to the University President and are responsible to the University President for the effective management of their institutions.

The University President shall keep the Board fully informed on all aspects of the Connecticut State University. He or she prepares the agenda for Board meetings, provides adequate notice of the meetings as required by state statute and Board policy, and maintains records of the Board's actions. The University President or designee acts for the Board and represents the Board, the Connecticut State University, and the four campuses to other units of state government.

In the absence of Board policy, the University President determines appropriate action and need for policy. The University President is empowered to issue administrative directives and to call for reports. The University President may direct transfers of positions and/or funds among the campuses and CSU Executive Offices whenever such transfers, in the University President's judgment, provide the best management and operation of the Connecticut State University. The University President shall report such transfers to the Board's Personnel and Employee Relations Committee (PERC) and/or the Board's Budget Committee.

When the University President believes it to be in the best interest of the Connecticut State University, he or she may require that vacant positions assigned to a campus or the CSU Executive Offices remain vacant. The University President is authorized to limit the number of positions a campus may have in each of the following personnel categories and, further, is authorized to define each of the categories: Manager, Instructor, Counselor, Librarian, Administrator, and Classified Worker.

The University President may define categories of students to insure appropriate designation for purposes of fee payment and uniform enrollment reporting.

3.2 Presidents of the Four Universities

Each of the four Presidents is the Chief Executive Officer of the University to which appointed, and reports to the President of the Connecticut State University. In the capacity of Chief Executive Officer, the President is responsible for the proper functioning of the campus and the welfare of all students and employees, classified and unclassified, who are assigned to it.

3.3 The Professional Staff of the Connecticut State University Executive Offices

The Professional Staff of the Connecticut State University Executive Offices shall be the University President and the Professional Staff to the University President. The Professional Staff to the University President shall be Vice President for Academic Affairs and Research, Vice President for Finance and Management, Vice President for Personnel, Director of Experimental College, Executive Assistant to the President for University Relations, the Associate for Board Affairs/Executive Assistant to the President, and such other Management and Confidential Professional Personnel as are approved by the Board of Trustees. Duties and responsibilities of the University President shall be as assigned by the Board of Trustees. The duties and responsibilities of professional staff members shall be assigned by the University President.

3.4 The Professional Staff of the Campuses

Each of the four State Universities shall have a President, a Vice President for Academic Affairs, a Vice President for Administrative Affairs, A Dean of Personnel Administration and a Dean of Student Affairs and such other Management or Confidential Professional Personnel as are specifically approved by Board. Duties and responsibilities of the President shall be as assigned by the Board and/or by the University President, except that the assignments made by the University President shall not negate duties and responsibilities assigned by the Board. Duties and responsibilities borne by campus-based Management and Confidential Professional Personnel shall be as assigned by the President.

3.5 Special Responsibility of the University President and the Presidents of the Four Universities

The functioning of the Connecticut State University system depends upon leadership and control exercised by the University President and Presidents. When the University President is to be absent from the office for a period of more than a day, except for an absence which occurs because of a State Holiday, then he or she shall inform the

Board's Chairperson of the planned absence and shall tell the Chairperson who has been left responsible for the work of the CSU Executive Offices. Similarly, when a President is to be absent from the office for more than a day, the President shall inform the University President of the planned absence and shall tell the University President who has been left responsible for the university campus.

3.6 Reporting Attendance

Management and Confidential Professional Personnel are required to report their work attendance in the manner prescribed by the University President or by the President, whichever is appropriate.

3.7 Address and Telephone Number

Management and Confidential Professional Personnel have specialized skills and knowledge essential to the operation of the Connecticut State University. For this reason it is essential to be able to contact such persons in the case of emergencies or other unusual circumstances.

All Management and all Confidential Professional Personnel shall file home addresses and telephone numbers with the University President or the President, whichever is appropriate. Whenever an address or a telephone number is changed, the new address or telephone number must be reported immediately to the University President or the President. Persons who wish their addresses and/or telephone numbers kept confidential must so inform the University President or the President. In such cases an effort will be made to protect confidentiality.

ARTICLE 4 The Decision Making Process

4.1 In order to enable the Connecticut State University to benefit from the knowledge and experience of the entire management group, the Board of Trustees has established system-wide councils to advise the University President and the members of the University President's executive staff.

4.2 Council of Presidents

There shall be a Council of Presidents (COP) made up of the University President and the Presidents of the four Universities. It shall be advisory to the University President. It shall be presided over by the University President and shall meet upon the University President's call.

4.3 Council of Vice Presidents for Academic Affairs

There shall be a Council of Vice Presidents for Academic Affairs made up of the University Vice President for Academic Affairs and Research, the four Vice Presidents for Academic Affairs and appointees of the University Vice President for Academic Affairs and Research. It shall advise the University President in academic matters. It shall be

presided over by the University Vice President for Academic Affairs and Research or designee of the University President. It shall meet at the call of the University President, the University Vice President for Academic Affairs and Research or designee of the University President.

4.4 Council of Vice Presidents for Administrative Affairs.

There shall be a Council of Vice Presidents for Administrative Affairs made up of the University Vice President for Finance and Management, Vice Presidents for Administrative Affairs and appointees of the University Vice President for Finance and Management. It shall advise the University President in administrative matters. It shall be presided over by the Vice President for Finance and Management or designee of the University President. It shall meet at the call of the University President, the Vice President for Finance and Management or such other person or designee of the University President.

4.5 Council of Deans of Student Affairs

There shall be a Council of Deans for Student Affairs made up of the University Vice President for Academic Affairs and Research and the four Deans of Student Affairs and appointees of the University Vice President for Academic Affairs and Research. It shall advise the University President on matters concerning students. It shall be presided over by the University Vice President for Academic Affairs and Research or designee of the University President. It shall meet at the call of the University President, the University Vice President for Academic Affairs and Research or designee of the University President.

4.6 Council of Deans of Personnel Administration

There shall be a Council of Deans of Personnel Administration made up of the University Vice President for Personnel and the four Deans of Personnel Administration and appointees of the University Vice President for Personnel. It shall advise the University President in personnel matters. It shall be presided over by the University Vice President for Personnel or designee of the University President. It shall meet at the call of the University President or the University Vice President for Personnel or designee of the University President.

4.7 President's Forum

In addition to the Councils there shall be a President's Forum composed of the persons identified in paragraph 2.12 which shall meet at the call of the University President to deliberate and advise on matters of importance to the growth and development of the Connecticut State University system. It shall be presided over by the University President or designee.

4.8 Advisory Committee on Personnel Policies

Each April there shall be elections among those covered by these policies on each campus and in the Executive Offices to select one representative from each group to serve on a five member Advisory Committee for these policies. Each September said Committee shall report to the Vice President for Personnel making suggestions for alterations in these policies.

4.9 Connecticut State University Committees

The University President has authority to establish other system-wide committees on a standing or ad hoc basis and shall designate the chairpersons of such committees. Said committees shall be advisory to the University President and shall meet upon the call of the University President or the University President's designee.

ARTICLE 5 Professional Development

5.1 Professional Development

The Board recognizes that professionals must have opportunity to keep abreast of developments in their fields, to sharpen their skills and to increase their knowledge. The various types of leaves provided in paragraphs 8.6, 8.7, and 8.8 are intended to provide opportunity for such professional development.

5.2 Travel

Travel is an important ingredient in the development of professional skills. The Board requires the University President to set reimbursement standards and rates for Management Personnel and Confidential Personnel which shall be not less than the most favorable granted to any employees of the Board of Trustees who are covered under a prevailing bargaining unit contract.

A person who is required to travel out-of-state on business may be provided with a cash advance if such is requested. Such requests shall not be unreasonably denied. At the conclusion of the trip, proper vouchers or receipts to justify the advance shall be filed. If the advance taken was less than justified, the traveler shall be reimbursed for out-of-pocket expenses within 30 days of filing the required expense report. If the advance taken was more than justified, prompt reimbursement is required.

5.3 Advancement Within the CSU Executive Offices

This paragraph pertains only to the CSU Executive Offices personnel. The four university campuses are specifically excluded. The Board desires that employees realize that there are very limited opportunities for professional advancement within the CSU Executive Offices. This results from the fact that there are very few high ranking professional positions and these frequently require certain

very specialized skills or long and varied experience gained elsewhere.

ARTICLE 6 Appointments

6.1 University President

The President of the Connecticut State University is appointed by the Board. The appointment is without term and may be terminated by the Board pursuant to Article 10. Before accepting appointment as the University President or while serving as University President, the University President may be granted a tenured position or a continuing appointment on a campus. The University President may take up such a campus-based assignment under the following circumstances and only under the following circumstances: the Executive Offices of the Connecticut State University are eliminated or the Board of Trustees for the Connecticut State University is eliminated or combined with another board, commission, or similar organization.

6.2 Presidents of the Four Universities

Presidents of the four Universities are appointed by the Board. The appointment is without term and may be terminated by the Board pursuant to Article 10.

6.3 Management and Confidential Professional Personnel Assigned to the CSU Executive Offices

Management and Confidential Professional Personnel, other than the University President, may be terminated pursuant to Article 10.

6.4 Campus officers of rank Dean and above are appointed by the Board upon the recommendation of the President and the concurrent recommendation of the University President. Other employees are appointed upon the recommendation of the President and approval of the Board. Such appointments may be terminated pursuant to Article 10.

6.5 Appointment of Acting Officers

When a management position or a position assigned to Confidential Professional Personnel becomes vacant because of resignation, retirement, illness, sabbatic leave or any other cause, the University President or the President, as appropriate, may appoint an employee of the Board or any other qualified person to fill the position on an acting basis. Salaries for persons serving in an acting capacity shall be within the salary range established for the position and shall be determined by the University President in consultation with the President. Acting appointments may be discontinued at any time by the University President or the President, as appropriate and shall not normally continue for more than twelve months, but may be extended by the Board. A person who is an employee of the Board and who accepts an acting appointment may receive a permanent appointment to the position in which such a person is serving in an acting capacity.

provided such a permanent appointment is made in accordance with affirmative action rules and procedures. If an employee of the Board who served in an acting capacity does not receive a regular appointment to the position in which he or she served on an acting basis, that person shall return to his or her regular position at a salary commensurate with what such salary would have been had the person filled the regular position continuously.

6.6 Consultants and Temporary Workers

Consultants and other temporary workers do not fall within the position count for the CSU Executive Offices or the campuses. The University President and the Presidents are authorized to employ consultants and other temporary workers, provided such employment does not violate an existing collective bargaining agreement or other State regulation and provided the funds expended are within the budgetary provisions approved by the Board. Consultants and temporary workers may be employed for not more than six months out of each twelve-month period without the approval of the University President. In exercising such authority, the University President and the Presidents shall conform to State laws and regulations. The employment of consultants and temporary workers at levels of compensation or for periods of time which exceed the provisions of this article require the prior approval of the Board of Trustees.

6.7 Emeritus Status

When the Board believes it appropriate, it may confer emeritus status upon managers and confidential professional persons. Ordinarily emeritus status will be conferred only upon persons who have ten years or more of service to the Connecticut State University, who are fifty-five years of age or older, and who have retired from the service of the State of Connecticut. The following privileges are provided for emeriti who were employed on one of the four university campuses immediately prior to leaving the service of the Board: use of the emeritus title, library privileges, course privileges as provided for employees under paragraph 7.10, desk space if available, a printed certificate, invitations to functions on the campus to which assigned immediately before leaving the service of the Board and inclusion on the mailing list for all publications issued by the university to which assigned immediately before leaving the service of the Board.

Emeriti who were employed in the CSU Executive Offices immediately before leaving the service of the Board shall be provided the following privileges: use of the emeritus title; library privileges at all four campuses; course privileges as provided for employees under paragraph 7.10; desk space if available; and for University Presidents and University Vice Presidents, up to four hours of clerical service per month.

ARTICLE 7 Compensation and Insurance

The Board recognizes the dedication and professional accomplishments of the Managers and Confidential Professional Personnel and is committed to compensating such persons fairly.

7.1 Salary Adjustment Guidelines

The University President shall recommend to the Board's Committee on Personnel and Employee Relations salary guidelines for all campus-based management positions and all campus positions filled by confidential professional personnel, except no recommendation shall be made for the office of University President or President. The University President shall provide the Board's Committee on Personnel and Employee Relations with supporting information. The Board's Committee on Personnel and Employee Relations shall recommend salary guidelines, which may include salary ranges to the Board and the Board shall fix such salary adjustments at least once each calendar year.

Following similar procedures, the University President shall recommend salary guidelines for the Presidents and personnel of the Executive Offices.

7.2 Specific Salary Adjustments

7.2.1 University President - The Board's Executive Committee shall recommend to the Board specific salaries or salary increases for the University President's position. In so doing the Board's Executive Committee shall consider comparable salaries within Connecticut and in other states. The Board shall fix the salary range for the University President's position at least once each calendar year. The Board shall consider the salary of the University President at least once a year.

7.2.2 Presidents of the Four Universities - The University President shall make a recommendation to the Board's Executive Committee concerning specific salaries or salary increases for the Presidents. The salaries of the Presidents shall be set by the Board after receiving the recommendations of the Board's Executive Committee. The Board shall consider the salaries of the Presidents at least once a year.

7.2.3 Management and Confidential Professional Personnel Assigned to the CSU Executive Offices Excluding the University President - The salaries of persons in such positions shall be set by the Board upon recommendation of the Board's Executive Committee. Prior to making a recommendation, the Executive Committee shall receive and consider a report on this subject from the University President. The Board shall consider the salaries of such persons at least once each year. No one employed less than six months shall be eligible for consideration of salary increase.

7.2.4 Campus-based Management and Confidential Professional Personnel, Excluding Presidents - Upon receipt of recommendations from the

Presidents which shall comply with the guidelines, and upon the favorable recommendation of the University President and PERC, the Board shall set the salaries of such persons. The Board shall consider the salary of such persons at least once each year. No one employed less than six months shall be eligible for consideration for salary increase.

7.3 Longevity

Semi-annual longevity payments shall be provided to Management and to Confidential Professional Personnel. Longevity payments shall be provided for eligible employees as follows:

7.3.1 For purposes of longevity, the base salary shall be 85% of the individual's present salary.

7.3.2 The increment value for longevity purposes shall be 3.9% of base salary.

7.3.3 Such semi-annual longevity payments shall be made at the last pay day in April and October, respectively, of each year, except that a retiring member shall receive, the month immediately following retirement, a pro-rated payment based on the proportion of the six-month period served prior to the effective date of retirement.

7.3.4 Semi-annual longevity payments shall be calculated as follows:

7.3.4.1 An employee who has completed ten or more years of satisfactory State service but less than fifteen years of such service, shall receive an amount equal to one-fourth of the increment established by paragraphs 7.3.1 and 7.3.2.

7.3.4.2 An employee who has completed fifteen or more years of satisfactory State service but less than twenty years of such service, shall receive an amount equal to one-half of the increment established by paragraph 7.3.1 and 7.3.2.

7.3.4.3 An employee who has completed twenty or more years of satisfactory State service but less than twenty-five years of such service, shall receive an amount equal to three-fourth of the increment established by paragraph 7.3.1 and 7.3.2.

7.3.4.4 An employee who has completed twenty-five or more years of satisfactory State service shall receive an amount equal to the increment established by paragraph 7.3.1 and 7.3.2.

7.3.5 ARP Disability Plan

Employees who are members of the Alternate Retirement Plan (TIAA) shall be covered at no expense to the employee by the TIAA Disability

Plan - Six Month Elimination with Annual Benefit Increase Provisions in accordance with all provisions of the current Group Policy.

7.4 Group Life Insurance

Employees shall continue to be eligible to participate in the State's group life insurance plan pursuant to Section 5-257 of the Connecticut General Statutes under the most favorable arrangement available to any employees of the Board.

7.5 Payroll Deductions

Upon the request of the employee, the Board shall provide optional payroll deductions for credit unions, tax shelter plans, TSAs and like plans when such deductions are authorized for payroll deduction within the CSU.

7.6 Medical and Dental Insurance

The Board requires the University President to seek for Management Personnel and Confidential Professional Personnel medical insurance and dental insurance plans on the most favorable terms granted to any employees of the Board.

7.7 Course Privileges

Subject to the approval of the campus offering the instruction, a permanent, full-time employee covered under these Policies, the employee's spouse and unmarried dependents under the age of 25 of such an employee may take courses at any of the four university campuses on a space available basis without payment of tuition and State University Fee(s), provided that participation in courses does not interfere with the employee's professional obligations. Space available means that there is space in the class without the displacement of a regular student or a fee-paying student and that admission of the employee, the spouse, or the employee's dependent will not create a workload entitling the instructor to additional pay or to a reduction in the number of hours the instructor is required to teach.

Emeritus employees shall be eligible for course privileges on the same basis as full-time employees.

7.8 Moving Expenses

The University President and Presidents are authorized to offer partial reimbursement for out-of-state moving expenses for prospective employees when, in their judgement, such offer would be in the best interests of CSU. Such offers must be in writing, shall not cover the first \$1,000.00 in expense and shall not exceed \$3,000.00 for any one employee.

7.9 Evaluation of CSU Professional Employees

Evaluation of management personnel and confidential professional personnel shall be performed pursuant to Appendices A - E.

ARTICLE 8 VACATIONS, HOLIDAYS, COMPENSATORY TIME OFF, AND LEAVES

8.1 Vacation Days

Vacation days do not accrue in any month in which an employee is on leave of absence without pay for an aggregate of five working days or more during that month. Full-time personnel employed on a 10 month basis are entitled to a total of 18.33 working days of vacation per calendar year accrued at the rate of 1.833 days per calendar month of service. Full-time personnel employed on a 12 month basis are entitled to a total of twenty-two (22) working days of vacation each calendar year accrued at the rate of 1.833 days per calendar month service. The maximum number of vacation days that may be accrued is one hundred twenty. Employees who have reached this limit shall have vacation days earned posted to their record once each year on January 1st or one month prior to termination of employment.

8.2 Personal Leave

In addition to annual vacation, each employee shall be granted up to three days of personal leave with pay in each calendar year. Such leave shall be for the purpose of carrying out important personal matters, including the observance of religious holidays, and shall not be deducted from vacation or sick leave credits. Religious leave in excess of the three personnel days may be taken without loss of pay if the immediate supervisor is satisfied that the employee's responsibilities will be met. Except in emergency situations, employees who desire such leave are expected to give reasonable advance notification to their immediate supervisors. Personal leave days not taken within the calendar year may not be carried over to the next year.

8.3 Sick Leave

Employees shall accrue sick leave with pay at the rate of one and one-quarter working days per calendar month of continuous full-time service commencing with the date of initial employment. New employees shall be credited with one year's accumulated sick leave (in advance) upon the first day of employment. At the end of said year, and thereafter, each employee shall be credited with one year's sick leave credit (12.5 days for 10 month employees and 15 days for 12 month employees) in advance on January 1st (prorated for various dates of employment). No sick leave will be accrued for any calendar month in which an employee is on leave of absence without pay for an aggregate of more than five working days. An employee who has been credited in advance with a full work year's sick leave days and whose service to the Board is terminated prior to the end of that year, for whatever reason, shall be entitled only to the sick leave accrued during the portion of the year during which he or she was employed. Consequently,

sick leave days awarded at the beginning of the year will be reduced at the rate of 1 1/4 days per month for the period of the year in which the employee does not work.

8.3.1 Purposes of Sick Leave, Medical Certificates

Absence chargeable to sick leave is granted normally under the following circumstances: incapacitation for duty, avoidance of the exposure of others to contagious disease, or dental or medical examinations which cannot be scheduled outside of working hours. Up to three days of sick leave in any calendar year may be granted by the University President or the President, whichever is appropriate, in cases of critical illness or severe injury in the immediate family which creates an emergency requiring the presence of the employee. Up to three days of sick leave may be granted by the University President or the President, whichever is appropriate, in the case of death in the immediate family. For purposes of this article, the immediate family is defined as wife, husband, father, mother, sister, brother, child or any person who is domiciled in the employee's household. In the following situations an acceptable medical certificate is required before sick leave is granted: any period of absence of more than five consecutive working days, when evidence indicates a reasonable cause for requiring such a certificate, and, provided the employee has been notified that a certificate will be required; when absence recurs frequently or habitually.

8.3.2 Sick Leave Bank

There shall be a Sick Leave Bank established for use by full-time employees covered by these policies who have exhausted their own sick leave and who have a catastrophic and extended illness.

The Sick Leave Bank shall be initiated with a mandatory contribution of four days sick leave per employee. Thereafter, each new employee shall make a mandatory contribution of four sick leave days upon employment.

The sick leave bank shall be administered by a Sick Leave Bank Committee consisting of the four Deans of Personnel and the Associate for Faculty and Staff Affairs. The Sick Leave Bank Committee shall determine the eligibility for the use of the bank and the amount of leave to be granted. The following criteria shall be used by the committee in administering the bank and determining the eligibility and amount of leave:

- (a) Adequate medical evidence of catastrophic and extended illness.
- (b) Prior utilization of all available sick leave.

The initial grant of sick leave by the Sick Leave Bank Committee to an eligible employee shall not exceed thirty (30) work days. Upon completion of the thirty (30) work day period, the period of

entitlement may be extended by the Sick Leave Bank Committee upon demonstration of need by the applicant. In normal circumstances such grants from the sick leave bank shall not exceed a total of 120 consecutive work days per occurrence.

If the sick leave bank is exhausted, it shall be renewed by the contribution of up to four (4) additional days from each employee covered by these policies. Such additional days will be deducted from the employee's annual days of sick leave. The Sick Leave Bank Committee shall determine the time when it becomes necessary to replenish the bank.

The decision of the Sick Leave Bank Committee with respect to eligibility and entitlement shall be final and binding with no appeal.

When an employee has a catastrophic and extended illness which has exhausted his sick leave, a request for use of the bank may be made to the Dean of Personnel Administration or the Associate for Faculty and Staff Affairs.

8.4 Holidays

Employees shall be granted time off with pay for the following holidays if these holidays fall within their working year. If university classes are in session on a scheduled holiday, a substitute day may be subsequently taken with the agreement of the President:

New Year's Day	Independence Day
Martin Luther King	Labor Day
Lincoln's Birthday	Columbus Day*
Washington's Birthday	Veterans Day*
Day of Prayer	Thanksgiving Day
Memorial Day	Christmas Day

*A day following a major holiday shall substitute for Columbus and Veterans day upon the request of the President or University President.

Should one of the holidays fall on a Saturday or Sunday, employees shall be excused from work in accordance with State practice. Whenever the Governor of Connecticut or the Governor's designee excuses the State employees from work, the University President or the University President's designee may grant time off to Management and Confidential Professional employees as provided by the Governor or the Governor's designee for the State's employees.

8.5 Compensatory Time Off

The Board of Trustees for the Connecticut State University recognizes that management salaried positions and confidential professional

positions are demanding and often require work beyond that normally expected of other employees. Compensatory time for unusually long hours of work on a workday or work on a legal holiday, a Saturday or a Sunday shall be granted at the discretion of the University President or President, whichever is appropriate, such compensatory time off must be taken within one year of such work. Compensatory time will not be used as the basis for additional compensation.

8.6 Sabbatic Leave

Sabbaticals are granted only for the benefit of the Connecticut State University and are encouraged for purposes of scholarly and creative endeavors that strengthen the professional competence, enrich the teaching, enhance the research of the employee to the advantage of the Connecticut State University, or sharpen and extend administrative skills. Upon completion of six years' full-time service an employee may be considered for sabbatic leave. After a sabbatical, a person does not again become eligible until the completion of an additional six years' of full-time service. The number of sabbatic leaves available each year is limited and depends upon the availability of funds. Leaves are granted without regard to seniority or to the number of years a person has been eligible for a sabbatical. Proposals for such leaves must be submitted in writing as prescribed by the University President or the President, whichever is appropriate.

Each proposal will be judged on its merits by the University President or the President, whichever is appropriate and a recommendation will be made to the Board which shall decide whether to approve the request. Payment for employees on sabbatic leave shall be at the rate of one-half year with full pay or full year with half pay. An employee on sabbatical shall continue to accrue sick leave, vacation leave, longevity credit, and retirement credit. An employee on a half pay sabbatical shall be credited with one full year service (but not salary) for purposes of retirement and longevity.

8.7 Short-term Leave

The University President or the President, whichever is appropriate, may grant short term leave with pay for not more than five consecutive working days. The University President and the Presidents may take short term leave with pay on their own authority for not more than five consecutive working days. Such leave shall be reported to the Board. The University President shall report the taking of such a leave to the Chairperson of the Board and a President shall report the taking of such a leave to the University President. Such short term leaves shall be taken only to improve a person's professional competency or for the benefit of the Connecticut State University. No person may take more than two such short-term leaves during any calendar year.

8.8 Leaves Without Pay

Upon the recommendation of the University President, or the President, as appropriate, the Board may grant an employee an unpaid leave of absence for periods lasting from three months up to one calendar year. Upon the recommendation of the University President or the President, unpaid leaves of absence may be extended by the Board. During an unpaid leave, an employee may exercise the option of continuing all benefits normally provided by the State by paying all the required premiums for such benefits. While on unpaid leave, a member shall remain an employee of the Board; however, the period of any such leave shall not be considered a period of service for purposes of salary and fringe benefit calculation, retirement, longevity, seniority, or eligibility for sabbatic leave.

Leave without pay for periods of less than three months may be granted by the University President or the President, whichever is appropriate

8.9 Short-Term Military Leave

Short-term military leave shall be granted in accordance with state and federal statutes.

8.10 Jury Leave

An employee who serves on a jury shall be entitled to receive full pay and benefits for the duration of such duty in return for relinquishing to the State all fees received for such jury duty. An employee who is subpoenaed will receive full pay provided such pay is required by law or by state regulations.

8.11 Maternity Leave

The following policies and procedures shall cover disability situations resulting from pregnancy. "Disability" is defined as the hospital stay and any period of time prior to and/or subsequent to delivery certified by the attending physician as a period of time when an employee is unable to perform her job requirements. During the period of disability, sick leave will be granted under exactly the same terms and conditions sick leave would be granted for any other disability. Upon expiration of sick leave, the employee may request, and shall be granted the use of vacation, personal leave, and compensatory time. Upon expiration of vacation, personal leave and compensatory time, the employee may request, and shall be granted, a leave of absence without pay. The total period of leave of absence without pay shall not exceed four months following the date of delivery. Any request for leave under this Section shall be submitted in writing to the University President or President whichever is appropriate. A request for maternity leave shall be accompanied by an acceptable medical certificate. The request shall contain the following information: the expected date of delivery, anticipated use of sick leave, vacation, personal leave, and compensatory time, and a statement that the employee intends to return to work. A single medical certificate will be accepted for absence due to pregnancy

disability up to four weeks after delivery. Further absence will require additional medical certificates.

8.12 Parental Leave

Three days paid leave deducted from sick leave will be provided to a parent at the time of the termination of pregnancy, adoption or taking custody of a child.

8.13 Return to Employment

A person who resigns in good standing or whose services are terminated and who returns to the employment of the Board within one year of the date of such resignation or termination shall be credited with the number of days of sick leave accrued prior to the date on which the person left the service of the Board less the number of days of sick leave for which the person received compensation at the time the person's services were terminated. No credit will be given for vacation days accrued prior to the date on which the person left the service of the Board.

8.14 Leave Privileges for Transferred Staff Members

Employees of the State who are transferred into or within the Connecticut State University shall carry with them all accrued sick or vacation time previously earned elsewhere in the service of the State or the Board.

ARTICLE 9 RETIREMENT

9.1 Choice: State Employee Retirement System, Tier II; State Teachers Retirement System; , Alternate Retirement Plan (TIAA)

The Board requires the University President to seek to maintain the option for Management Personnel and Confidential Professional Personnel to select from among the retirement systems cited in the heading to this paragraph. Further, the Board requires the University President to seek for Management Personnel and Confidential Professional Personnel membership in each of the cited retirement systems on the most favorable terms granted to any group of State Employees.

9.2 Social Security - Employees participate in Social Security as provided by State and Federal statutes and regulations.

9.3 Individual Retirement Annuities

Benefits shall be made available on a voluntary basis to eligible employees as provided in Section 5-264 of the General Statutes of Connecticut whereby, under certain conditions, the Board of Trustees may enter into an agreement involving the purchase of an individual or group retirement annuity contract that will qualify for income tax benefits (see Article 7.5).

9.4 Accumulated Vacation Days

Employees may accumulate vacation days to a maximum of one-hundred twenty days. Employees who have accumulated 120 days shall have vacation days posted to their account on January 1st or one month prior to termination. Upon separation from State service, an employee shall be compensated for unused vacation at the daily rate of pay at the time of separation. In the event of death the compensation shall be paid to the beneficiary.

9.5 Accumulated Sick Leave

There shall be unlimited accumulation of sick leave; however, upon retirement from the employment of the Board an employee shall be compensated for one-fourth of the sick leave days accumulated by the employee up to a maximum of sixty full days. Payment for accumulated sick leave shall not be included in computing retirement income. Upon the death of an employee who has completed ten years of satisfactory State service, the beneficiary shall receive the sick leave compensation which would have been provided the employee if the employee had retired on the date of the employee's death.

9.6 Status Report

Prior to January 31 of each year, each employee shall receive a status report as of the December 31 immediately preceding, showing the following: annual salary, accumulated vacation leave, accumulated sick leave, years of credit for retirement, and years of credit for longevity salary increments.

ARTICLE 10 NON-CONTINUATION, SUSPENSION AND TERMINATION

10.1 The University President

The University President is appointed by the Board and serves at the pleasure of the Board. He or she may be terminated by the Board pursuant to Article 10.7. If the Executive Committee of the Board finds it necessary, the Chairperson may suspend the University President with or without pay. In such a case the Chairperson shall designate a member of the professional staff from either the CSU Executive Offices or one of the campuses to serve as Acting President of the Connecticut State University.

10.2 The Presidents of the Four Universities

The appointment of a President to one of the four State Universities is by Board action and may be terminated by the Board pursuant to Article 10.7. With concurrence of the Executive Committee of the Board and the Chairperson of the Board or, when the Chairperson is unavailable, with the concurrence of the Vice Chairperson, the University President may suspend a President with or without pay. In such a case the University President shall name a professional staff member from the Connecticut State University system to serve as Acting President.

10.3 Non-Continuation

Managerial personnel and Confidential Professional Personnel serve at the pleasure of the university President or Presidents. They may be non-continued in their current positions without cause or explanation at the option of the President, for Executive Office personnel; or Presidents, for campus personnel; upon a one year written notice. A non-continued employee shall not have access to the procedures of 10.7.

A one year notice is not required in the case of Suspension (10.3), Termination for Cause (10.4) and Abandonment (10.5).

10.4 Suspension

The University President, for Executive Offices personnel; or the campus President, for campus based personnel; may suspend an employee with or without pay when such action is needed for the protection of the health, safety or welfare of the Connecticut State University community; for the protection of property; for the protection of academic programs; or to maintain the orderly flow of business. Such a suspension shall not remain in force for more than sixty days. Within that time the University President or the President must follow the requirements of Article 10.7.

10.5 Termination for Cause

Termination for cause shall be predicated upon the unfitness of the employee to discharge his or her professional duties. The University President, for Executive Offices personnel; or the President, for campus based personnel; may terminate an employee for cause pursuant to Article 10.7.

Cause includes but is not limited to: conviction of a crime; offensive, indecent or abusive conduct toward students, the public, superiors or co-workers; use of fraudulent credentials in seeking of appointment, continuation of appointment or promotion, theft, willful neglect or misuse of state funds, property, equipment, material or supplies, including state-owned automobiles; violation of law, State regulation, or rule of the Connecticut State University; Intoxication while on duty; neglect of duty; insubordination, including refusal to work overtime, if directed to do so; engagement in an activity detrimental to the State or the Connecticut State University; and disloyalty to the United States or to the State of Connecticut.

10.6 Abandonment

Failure to perform assigned duties for five consecutive working days without prior approval of the University President, for Executive Office Personnel; or the President, for campus based personnel; is abandonment of one's appointment unless there is an adequate explanation for such failure. Reporting of the failure to perform assigned duties is the responsibility of the appropriate Vice

President, Executive Dean, Dean of Personnel, Dean of Student Affairs, or other person charged with this responsibility by the University President or the President. Such cases shall be investigated by the appropriate official and if circumstances are found which justify such failure to perform assigned duties, the lost time shall be charged to sick leave, leave without pay, or vacation leave, whichever is appropriate.

If the investigation does not reveal circumstances which justify such failure to perform assigned duties, and if the employee can not be located, the employee shall be suspended without pay, and the matter referred to Article 10.7 where The Advisory Committee of Three shall consider in good faith all available evidence and reach a recommendation of the proper course of action for the circumstances. In the continuing absence of the employee, the procedures of 10.7 shall be followed to the extent possible.

10.7 HEARINGS (NOT APPLICABLE TO NON-CONTINUED EMPLOYEES)

When in the judgment of the Executive Committee of the Board, for the University President and the Presidents; or the University President, for Personnel in the Executive Offices; or the Presidents, for campus personnel covered by these policies; there is a question concerning discipline of an employee which may result in dismissal for cause and/or suspension of the employee with or without pay; or a matter is referred pursuant to Article 10.6; the following steps shall be followed to the extent possible:

(a) A meeting shall be arranged with the employee and the Designee of the Board's Executive Committee, for the University President or one of the Presidents; or the CSU President, for Executive Office Personnel; or the President, for campus based personnel; in order to discuss confidentially the situation. The discussion shall include specific oral reference to matters of administrative concern and proposed managerial action(s) in the light of the situation. The employee shall have opportunity to present relevant information. With the agreement of both parties, the discussion may be continued at a mutually agreed time within five working days of the first discussion (this step may be omitted in abandonment if the employee is unavailable).

(b) The employee may request an informal hearing by presenting said request in writing to the responsible CSU Official designated in (a) above not later than five days after the meeting specified in (a) above. Said hearing shall be scheduled not sooner than 10 days nor later than 30 days following timely request by the employee for the hearing.

(c) The hearing shall be held before an Advisory Committee of Three appointed for the purpose by the appropriate person designated in (a) above.

The hearing shall not be governed by formal rules. The Advisory Committee of Three at the hearing shall make a good faith effort to be

fair and impartial while eliciting relevant information on the matter in question.

The hearing may not exceed four hours, except with the agreement of both parties.

In the case of abandonment, with the current absence of the employee in question, the group shall make its best recommendation of the appropriate course of action.

(d) Within ten days of the conclusion of the hearing, the Advisory Committee of Three shall inform the appropriate official specified in (a) above of its written findings and recommendations. The appropriate official shall within five days of receipt of recommendations notify the employee, except in the case of abandonment where a written decision shall remain on file, of his or her final and binding written decision(s). Said decision(s) shall be without appeal.

(e) Failure by the employee to adhere to the deadlines specified herein above, shall be deemed waiver of the opportunity for hearing on the matter.

10.8 Retrenchment and Reorganization

If the Executive Offices of the Board are eliminated or combined with another board, commission, or similar organization with attendant reduction in personnel requirements or a reduction in the ranks of Managerial and Confidential Professional Employees is ordered by the Board, employees with campus assignments shall be permitted to take up such assignments.

A good faith effort shall be made to place other effected employees in the CSU system.

If an employee is returned to his or her former position on a CSU campus, his or her salary shall be commensurate with what such salary would have been had the person filled the regular position continuously.

APPENDIX A

Evaluation of CSU Personnel

This paragraph complies with guidelines established by the Board of Governors and pertains only to the CSU Executive Offices. The four university campuses are specifically excluded.

The University President shall be evaluated by the Executive Committee of the Board of Trustees. The University President shall evaluate those employees who report directly to the Office of President. The University Vice Presidents and The State University Executive Assistant to the President for University Relations will evaluate the performance of management and confidential professional personnel who report to them. Such evaluations will normally take place between June 1 and September 1, except that more frequent evaluations may occur at the discretion of the evaluator. Evaluations will be based upon objectives established for the period since the last evaluation and/or upon the individual's accomplishments during that period of time. Employees shall be shown the original of their evaluations and shall initial and date the original evaluation indicating that they have read the document. Employees may append statements to their evaluations.

Maintenance of Personnel Files Within the Executive Offices

1.0 It is the purpose of the paragraphs following to incorporate in plain language requirements of the Personal Data Act and related Standards.

1.2 Confidential employee files located in the Executive Offices of the Board of Trustees for the Connecticut State University located at 1615 Stanley Street, New Britain, CT 06050 (P.O. Box 2008) shall include, but not be limited to, application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit-related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Associate for Faculty and Staff Affairs. A subset of these files related to payroll shall be separately maintained by the designee of the Vice President for Finance and Management.

1.3 The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working in the Executive Offices of the Board of Trustees. The Personnel File for the Executive Office is a manual file augmented by a computer generated personnel/payroll data base known as the MSA system.

1.4 Each employee file shall contain a five year log of every instance of access to that file except by the evaluator of the employee, Associate for Faculty and Staff Affairs, or employee assigned by the Associate for Faculty and Staff Affairs to personnel-related file maintenance. The payroll and attendance records shall be made available for the purpose of audits upon the directive of the Vice President for Financial Affairs with the agreement of the Vice President for Personnel.

1.5 Employees shall have access to their personnel file at the mutual convenience of the Associate for Faculty and Staff Affairs and the employee. Nothing may be added, removed, or altered, in a personnel file except upon the agreement of the Associate for Faculty and Staff Affairs (see below). Upon employee request, a copy of any document(s) within the file shall be given to the employee. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the person requesting the data.

1.6 Employees wishing to contest the accuracy, completeness or relevancy of documents in the personnel file shall submit a request for addition, deletion, or correction, in writing to the Associate for Faculty and Staff Affairs. The dated request shall provide detailed reasons for the proposed change. The matter shall be referred to the Vice President for Personnel with the recommendation of the Associate for Faculty and Staff Affairs. The decision in the matter by the Vice President for Personnel shall be final, binding, and issued within 30 days of the initial written request. Contents of the Vice President for Personnel's file and the Associate for Faculty and Staff Affairs' file may only be changed upon the Agreement of the CSU President.

1.7 An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process, except for access as provided in 1.4. An affected employee shall be promptly notified of any such a request.

1.8 There are numerous rules and regulations pertaining to various kinds of records. In plain English, Sec. 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value according to still other regulations. In addition the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and subsequently clarified certain questions relating to disclosure of documents. Finally, Sec. 1-15 through Sec. 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most CSU employees. If however, there are any questions related to these statutes and regulations, the Associate for Faculty and Staff Affairs will be delighted to provide a copy together with our best plain English interpretation of their current status and meaning.

APPENDIX B

CENTRAL CONNECTICUT STATE UNIVERSITY

Policy On The Maintenance of Personnel Files

It is the purpose of the paragraphs following to incorporate in plain language requirements of the Personal Data Act and related Standards.

Confidential employee files located in the President's Office and the Personnel Office of Central Connecticut State University, located at 1615 Stanley Street, New Britain, CT 06050, shall include, but not be limited to, application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit-related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Dean of Personnel Administration. A subset of these files related to payroll shall be separately maintained in the Payroll Office by the designee of the Vice President for Administrative Affairs.

The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working for Central Connecticut State University. The Personnel File for Central Connecticut State University is a manual file augmented by a computer generated personnel/payroll data base known as the MSA system.

Each employee file shall contain a five year log of every instance of access to that file except by the President and his immediate staff, The Dean of Personnel Administration, and the staffs of the Personnel and Payroll offices, the Vice Presidents and the Deans. Payroll records shall be made available for the purpose of audit upon the directive of the Vice President of Administrative Affairs. Attendance records shall be made available for the purpose of audit upon the directive of the Dean of Personnel Administration.

Employees shall have access to their personnel file at the mutual convenience of the Administrative Assistant to the President or the Personnel Office Staff, as appropriate, and the employee. Nothing may be added, removed, or altered, in a personnel file by the employee except upon the agreement of the Dean of Personnel Administration or Personnel Director (see below). Upon employee request, a copy of any document(s) within the file shall be given to the employee. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the person requesting the data.

Employees wishing to contest the accuracy, completeness or relevancy of documents in the personnel file shall submit a request for addition, deletion, or correction, in writing to the Dean of Personnel Administration. The dated request shall provide detailed reasons for the proposed change. The decision in the matter by the Dean of Personnel Administration shall be final, binding, and issued within 30 days of the initial written request. Contents of the Dean of Personnel Administration's file may only be changed upon the agreement of the President.

An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process, except for access as provided in 4 above. An affected employee shall be promptly notified of any such a request.

Where applicable collective bargaining agreements prescribe conflicting rules, the collective bargaining agreement's rules shall prevail.

There are numerous rules and regulations pertaining to various kinds of records. In plain English, Sec. 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value according to still other regulations. In addition the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and subsequently clarified certain questions relating to disclosure of documents. Finally, Sec. 1-15 through Sec. 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most CCSU employees. If however, there are any questions related to these statutes and regulations, the Dean of Personnel Administration will provide a copy together with our best plain English interpretation of their current status and meaning.

APPENDIX C

EASTERN CONNECTICUT STATE UNIVERSITY

GUIDELINES FOR MAINTENANCE OF AND ACCESS TO PERSONNEL FILES

The following guidelines, which incorporate the plain language requirements of the state personal data act and related standards, are to be used for maintenance of and access to employee personnel files.

A. GENERAL

1. Employee files, located in the Personnel Office, Shafer Hall, Room 11, Eastern Connecticut State University, 83 Windham Street, Willimantic, Connecticut 06226, shall include, but not be limited to application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit related forms and correspondence reasonable related to personal status of employees. These files shall be maintained under the direction of the Dean of Personnel Administration. A subset of these files related to payroll shall be separately maintained by the Payroll Office under the direction of the Vice-President for Administrative Affairs.
2. The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working at the University. The Personnel File is a manual file augmented by a computer generated personnel/payroll data base known as the MSA System.
3. Each employee file shall contain a five year log of every instance of access to that file except by the Dean of Personnel Administration or employees assigned by the Dean to perform related file maintenance. Each record of access shall contain the name, date and reason for access (see Section D). The Payroll and attendance records shall be made available to authorized individuals for the purpose of audits upon the directive of the Vice-President for Administrative Affairs with the agreement of the Dean of Personnel Administration.

B. MAINTENANCE RESPONSIBILITIES OF PERSONNEL OFFICE STAFF

1. Personnel Office staff members are to familiarize themselves with those articles in various contracts and personnel policy documents which pertain to personnel files and Chapter 55 of the General Statutes (enclosed).
2. Personnel files are not to be removed from the Personnel Office under any circumstances.
3. No anonymous material of any kind is to be placed in personnel files.
4. No derogatory information is to be placed in files without permission of the Dean of Personnel Administration or his designee.

5. Except for routine personnel and payroll information, staff members are to insure that employees receive copies of all materials introduced into a file.
6. All material placed in a personnel file shall be dated upon receipt in the Personnel Office.
7. No items may be removed from a file without permission of the Dean of Personnel Administration or his designee.
8. A copy of Chapter 55 of the General Statutes is to be displayed in a conspicuous location near the files and made available to employees having access.

C. FILE ACCESS TO INDIVIDUAL EMPLOYEES

1. Employees shall have access to their personnel file at the mutual convenience of the Dean of Personnel Administration and the employee. Nothing may be added, removed, or altered, in a personnel file except upon the agreement of the Dean of Personnel Administration (see below).
2. Upon employee request, a copy of any document(s) within the file shall be given to the employee.
3. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the employee.
4. Employees may file to contest the accuracy, completeness, or relevancy of materials in the personnel file as follows:
 - a. Members of any state bargaining unit may file in accordance with their respective collective bargaining agreement.
 - b. Classified managers may file in accordance with State of Connecticut Personnel Regulations.
 - c. Members of unclassified management may file with the Dean of Personnel Administration by submitting, in writing, the request with detailed reasons. The Dean shall make his recommendation to the University President who shall issue the final, binding decision within 30 days of the initial request.
 - d. Requests concerning the Dean's file shall be submitted directly to the President for a decision within 30 days following receipt.

D. ACCESS AND DISCLOSURE TO INDIVIDUALS OR GROUPS OTHER THAN THE EMPLOYEE

1. Access to personnel files shall be limited to the President, his designee(s), and members of the Personnel Staff, except where permission of the employee has been obtained or when access is specified in individual collective bargaining agreements. The

following are presidential designees: appropriate vice-president or dean, and appropriate line supervisor.

2. An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process. An affected employee shall be promptly notified of any such request.

Nothing in these guidelines is intended to supersede Chapter 55 of the General Statutes. Where conflicts are identified, the statutes shall govern. Additionally, where applicable collective bargaining agreements prescribe conflicting rules, such agreements shall prevail.

For the information of employees, other rules and regulations pertaining to various kinds of records exist. In plain English, Sec. 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value. In addition, the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and has subsequently clarified certain questions relating to disclosure of documents. Finally, Sec. 1-15 through Sec. 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most ECSU employees. If however, there are questions related to these statutes and regulations, the Dean of Personnel Administration is available to provide a copy together with a plain English interpretation of their current status and meaning.

APPENDIX D

SOUTHERN CONNECTICUT STATE UNIVERSITY

GUIDELINES FOR MAINTENANCE OF AND ACCESS TO PERSONNEL FILES

(Lecturer files are housed in the office of the appropriate Dean. Accordingly, the appropriate Dean replaces the Dean of Personnel Administration for purposes of these files under this document.)

The following guidelines, which incorporate the plain language requirements of the State Personal Data Act and related standards, are to be used for maintenance of and access to employee personnel files.

A. GENERAL

1. Employee files, located in the Personnel Office*, Engleman Hall Rooms 136 and 138, Southern Connecticut State University, 501 Crescent Street, New Haven, Connecticut 06515, shall include, but not be limited to application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Dean of Personnel Administration. A subset of these files related to payroll shall be separately maintained by the Payroll Office under the direction of the Vice President for Administrative Affairs.
2. The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working at the University. The Personnel File is a manual file augmented by a computer generated personnel/payroll data base known as the MSA System.
3. Each employee file shall contain a five year log of every instance of access to that file except by the President and his immediate staff, the Dean of Personnel Administration, and the staffs of the Personnel and Payroll offices, the Vice Presidents and the Deans.

B. MAINTENANCE RESPONSIBILITIES OF PERSONNEL OFFICE STAFF

1. Personnel office staff members are to familiarize themselves with those articles in various contracts and personnel policy

documents which pertain to personnel files and Chapter 55 of the General Statutes (enclosed).

2. No anonymous material of any kind is to be placed in personnel files.
3. No derogatory information is to be placed in files without the permission of the Dean of Personnel Administration or his/her designee.
4. Except for routine personnel and payroll information, staff members are to insure that employees receive copies of all materials introduced into a file.
5. All material placed in a personnel file shall be dated upon receipt in the Personnel Office.
6. No items may be removed from a file without permission of the Dean of Personnel Administration or his/her designee.
7. A copy of Chapter 55 of the General Statutes is to be displayed in a conspicuous location near the files and made available to employees having access.

C. FILE ACCESS TO INDIVIDUAL EMPLOYEES

1. Employees shall have access to their personnel file at the mutual convenience of the Dean of Personnel Administration and the employee. Nothing may be added, removed, or altered, in a personnel file except upon the agreement of the Dean of Personnel Administration (see below).
2. Upon employee request, a copy of any document(s) within the file shall be given to the employee.
3. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the employee.
4. Employees may file to contest the accuracy, completeness, or relevancy of materials in the personnel file as follows:
 - a. Members of any state bargaining unit may file in accordance with their respective collective bargaining agreement.
 - b. Classified managers may file in accordance with State of Connecticut Personnel Regulations.
 - c. Members of unclassified management may file with the Dean of Personnel Administration by submitting, in writing, the request with detailed reasons. The Dean shall make his/her recommendation to the University President who shall issue the final, binding decision within 30 days of the initial request.

- d. Requests concerning the Dean's file shall be submitted directly to the President for a decision within 30 days following receipt.

D. ACCESS AND DISCLOSURE TO INDIVIDUALS OR GROUPS OTHER THAN THE EMPLOYEE

1. Access to personnel files shall be limited to the President, his designee(s), and members of the Personnel Staff, except where permission of the employee has been obtained or when access is specified in individual collective bargaining agreements. The following are presidential designees: appropriate vice president or dean, and appropriate line supervisor.
2. An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process. An affected employee shall be promptly notified of any such request.

Nothing in these guidelines is intended to supersede Chapter 55 of the General Statutes. Where conflicts are identified, the statutes shall govern. Additionally, where applicable collective bargaining agreements prescribe conflicting rules, such agreements shall prevail.

For the information of employees, other rules and regulations pertaining to various kinds of records exist. In plain English, Section 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value. In addition, the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and has subsequently clarified certain questions relating to disclosure of documents. Finally, Section 1-15 through Section 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most SCSU employees. If however, there are any questions related to these statutes and regulations, the Dean of Personnel Administration is available to provide a copy together with a plain English interpretation of their current status and meaning.

APPENDIX E

WESTERN CONNECTICUT STATE UNIVERSITY

Policy On The Maintenance of Personnel Files

It is the purpose of the paragraphs following to incorporate in plain language requirements of the Personal Data Act and related Standards.

Confidential employee files located in the President's Office and the Personnel Office of Central Connecticut State University, located at 1615 Stanley Street, New Britain, CT 06050, shall include, but not be limited to, application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit-related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Dean of Personnel Administration. A subset of these files related to payroll shall be separately maintained in the Payroll Office by the designee of the Vice President for Administrative Affairs.

The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working for Central Connecticut State University. The Personnel File for Central Connecticut State University is a manual file augmented by a computer generated personnel/payroll data base known as the MSA system.

Each employee file shall contain a five year log of every instance of access to that file except by the President and his immediate staff, The Dean of Personnel Administration, and the staffs of the Personnel and Payroll offices, the Vice Presidents and the Deans. Payroll records and attendance records shall be made available for the purpose of audit upon the directive of the Vice President of Administrative Affairs.

Employees shall have access to their personnel file at the mutual convenience of the Administrative Assistant to the President or the Personnel Office Staff, as appropriate, and the employee. Nothing may be added, removed, or altered, in a personnel file by the employee except upon the agreement of the Dean of Personnel Administration or Personnel Director (see below). Upon employee request, a copy of any document(s) within the file shall be given to the employee. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the person requesting the data.

Employees wishing to contest the accuracy, completeness or relevancy of documents in the personnel file shall submit a request for addition, deletion, or correction, in writing to the Dean of Personnel Administration. The dated request shall provide detailed reasons for the proposed change. The decision in the matter by the Dean of Personnel Administration shall be final, binding, and issued within 30 days of the initial written request. Contents of the Dean of Personnel Administration's file may only be changed upon the agreement of the President.

An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process, except for access as provided in 4 above. An affected employee shall be promptly notified of any such a request.

Where applicable collective bargaining agreements prescribe conflicting rules, the collective bargaining agreement's rules shall prevail.

There are numerous rules and regulations pertaining to various kinds of records. In plain English, Sec. 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value according to still other regulations. In addition the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and subsequently clarified certain questions relating to disclosure of documents. Finally, Sec. 1-15 through Sec. 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most CCSU employees. If however, there are any questions related to these statutes and regulations, the Dean of Personnel Administration will provide a copy together with our best plain English interpretation of their current status and meaning.
